



Headquarters Policy Flash

FLASH 2001-27

DATE: November 14, 2001
TO: Procurement Directors
FROM: Office of Procurement and Assistance Policy, MA-51
Office of Procurement and Assistance Management

SUBJECT: Implementation of New Advance Award Notification System

SUMMARY: On October 29, 2001, the Deputy Secretary signed a memorandum (attached) to announce a new process for providing advance award notification to DOE senior managers. The new process provides for an electronic system for advance notification of award of certain prime contracts and subcontracts. The new system also fulfills the current requirement to provide advance notification to the Office of Congressional and Intergovernmental Affairs. *The system is now fully operational. In accordance with the October 29, 2001, memorandum, all new award notifications issued on or after November 15, 2001, must be submitted to Headquarters via the electronic system.*

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The purpose of this Policy Flash is to remind contracting personnel of their responsibility to implement the Advance Award Notification System on November 15, 2001, and to provide additional guidance to supplement the instructions provided in the October 29, 2001, memorandum.

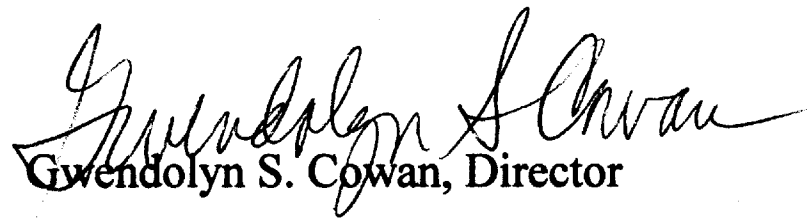
- ✓ Contracting activities are responsible for providing the notification. The attachment to the Deputy Secretary's memorandum fully explains the system. The criteria for advance award notification has not changed from the requirements of DOE Order 1220.1A, with the exception of subcontracts for which DOE has consent responsibilities that now will be reported. Notice of subcontract awards is to be made by DOE personnel filling out a DOE F 4220.10, using information supplied by the prime contractor during consent reviews.
- ✓ For subcontract awards, the word "SUBCONTRACT" must be manually entered in Block 3 of DOE F 4220.10. The remainder of the information in Block 3 and that called for in Block 6 should be taken from the subcontract, not the prime contract. (Note: We anticipate that the form will be revised in the near future to eliminate the need to manually insert the word "subcontract.")
- ✓ A copy of DOE F 4220.10 is provided at <https://notification.pr.doe.gov> and it can be electronically filled out. After entering the information on the Congressional Grant/Contract Notification form, DOE F 4220.10, a copy should be printed and signed. It should then be scanned using Adobe Acrobat and uploaded in PDF format to the website. Detailed instructions for uploading the notification forms are contained on the website.
- ✓ Effective November 15, 2001, the electronic system replaces the requirement to fax a copy of the form to the Office of Congressional and Intergovernmental Affairs. The Office of Congressional and Intergovernmental Affairs will have access to the system to obtain the necessary information for congressional notification purposes. However, copies of related press releases will still need to be faxed directly to CI-40 in accordance with the instructions on the back of the form.

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To access the electronic system it will be necessary for appropriate individuals in each Procurement Office to obtain a user identification code and password. It is recommended that a primary and alternate point of contact for entering data be assigned. Information is provided at the website to obtain appropriate authorization to access the system and access will be provided on the same day of request.

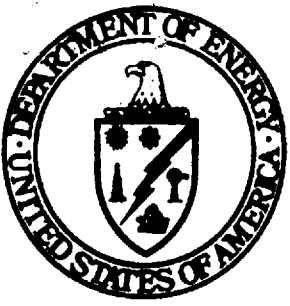
We also ask that you pay special attention to providing adequate, detailed information in Block 9 of the form to assist senior management in understanding the nature and substance of the prospective award.

Please contact Bob Webb at (202) 586-8264 for questions on the requirement for submitting advance award notifications, and Paul Coombs at (202) 586-4934 for questions concerning access to the website.


Gwendolyn S. Cowan, Director

Attachment

cc: PPAG Members



The Deputy Secretary of Energy
Washington, DC 20585

October 29, 2001

MEMORANDUM FOR HEADS OF DEPARTMENTAL ELEMENTS

FROM: FRANCIS S. BLAKE 

SUBJECT: Advance Award Notification

The Department of Energy (DOE) spends most of its budget on contracts and financial instruments (grants and cooperative agreements). Because of the wide diversity of DOE programs, it is important that the Department's senior officials be notified of prospective awards. At present, prime contract and financial assistance award information is required to be provided 48 hours in advance of an award to the Office of Congressional and Intergovernmental Affairs in accordance with DOE Order 1220.1. The purpose of this memorandum is to expand the requirement to include notification of certain management and operating subcontract awards, and to provide for the electronic submission of the data to replace the current paper-based system in DOE Order 1220.1.

I have directed the Office of Procurement and Assistance Management to develop an electronic web site that will be used for the submission of the required Congressional notification for prime awards and for providing notification of management and operating contract subcontract awards for which the Department has consent responsibilities. The attached "Headquarters Notification of Procurement and Financial Assistance Award Actions" is an outline of what will be required. The Office of Procurement and Assistance Management will provide additional details of the system prior to implementation.

Accordingly, effective November 15, 2001, all departmental elements will submit electronic notifications of pending awards as described herein. Contracting activities will be responsible for providing the notification. If you have any questions, please contact Richard H. Hopf, Director, Office of Procurement and Assistance Management at (202) 586-8613.

Attachment

HEADQUARTERS NOTIFICATION OF PROCUREMENT AND FINANCIAL ASSISTANCE AWARD ACTIONS

- ✓ Notification of the following prime contract and financial assistance award actions, and certain M&O subcontract award actions, shall be provided electronically to Headquarters no later than 48 hours prior to award. The electronic "Congressional Grant/Contract Notification" form (DOE F 4220.10) will be utilized. The DOE F 4220.10 is available at <http://www.directives.doe.gov/pdfs/forms/4220-10.pdf>. After the data has been entered onto the form, a copy should be downloaded and signed. It should then be electronically transmitted in PDF format to <https://notification.pr.doe.gov> which will be provided as a central repository for collection purposes. Information regarding notification of awards will be provided to:
 - ✓ the Office of Congressional and Intergovernmental Affairs to provide necessary Congressional notification of the Department's activities. (This new system will obviate the need to fax a copy of DOE Form 4220.10 to the Office of Congressional and Intergovernmental Affairs.)
 - ✓ the Offices of the Deputy Secretary, Under Secretary of the National Nuclear Security Agency, Under Secretary of Energy, Science and Environment, and Chief Financial Officer.
- ✓ Prime contract and financial assistance award notification will be reported on DOE Form 4220.10 in accordance with DOE Order 1220.1A, Change 1, Congressional and International Affairs.
- ✓ M&O subcontract award notification will also be reported on DOE form 4220.10 for prospective awards for which DOE has consent responsibilities. Block 3 of the form should be annotated to reflect that the award is a subcontract award.
- ✓ The following information should be provided consistent with the requirements on DOE Form 4220.10:
 - ✓ Informing Office (e.g. Field Activity), Name and Telephone #
 - ✓ Program/Project Office, Name and Telephone #
 - ✓ Contractor/Recipient Name and Address
 - ✓ Place of Performance
 - ✓ Proposed Date of Award
 - ✓ Type of Instrument (e.g. Contract/Grant/Cooperative Agreement)
 - ✓ Type of Award (e.g. new/renewal/modification)
 - ✓ Obligated Cost or Price of the Action and Recipient Cost Sharing, if applicable
 - ✓ Duration of Agreement
 - ✓ Brief Description of Activities being performed under the Award

U.S. DEPARTMENT OF ENERGY

Office of Congressional and Intergovernmental Affairs (CI)

CONGRESSIONAL GRANT/CONTRACT NOTIFICATION

TO: Office of Congressional & Intergovernmental Affairs
ATTN: Contract Notification Coordinator (CI-40)
U.S. Department of Energy
1000 Independence Avenue, SW Room 8G-070
Washington, D. C. 20585

Telephone: 202-586-2764
Fax: 202-586-5497

1. Informing Office: Name: _____ (Contracting Office Representative) Telephone: () _____	2. Program Office/Project Office: Name: _____ Telephone: () _____
3. Contractor, Grantee or Offeror: Name: _____ Street: _____ City: _____ State _____ Zip _____	4. Place of Performance: <i>(Required if different from #3)</i> Street: _____ City: _____ State _____ Zip _____
5. Proposed Date of Award: Date of Public Announcement: _____ (If any)	6. Contract, Grant, or Other Agreement No.: _____ (Specify Type of Instrument) <input type="checkbox"/> New <input type="checkbox"/> Renewal <input type="checkbox"/> Modification (Total to date: \$ _____) Does this award result from an Information For Bid? <input type="checkbox"/> Yes <input type="checkbox"/> No
7. Obligated Cost or Price of this Action: \$ _____ Estimate Cost or Price of Total Contract: \$ _____ Recipient Cost Sharing (if applicable): \$ _____ (For incrementally funded contracts only. Report the initial obligation and total estimated contract value.)	8. Duration of Contract, Grant, or Other Agreement: From: _____ To: _____
9. Brief Description. <i>(Please use non-technical/plain English language/no acronyms.)</i> _____ _____ _____	

TO BE COMPLETED BY OFFICIAL RESPONSIBLE FOR SUBMISSION

10. Method of Submission: <input type="checkbox"/> Mail <input type="checkbox"/> Fax <input type="checkbox"/> Hand Carry	Date: _____ Time: _____ <input type="checkbox"/> A.M. <input type="checkbox"/> P.M.
Name: _____	Title: _____
Signature: _____	Office: _____



Instructions for Completing and Submitting DOE F 4220.10

At least 48 hours in advance of actions, reportable as set forth below, the cognizant procurement office shall provide notice of the expected action. This 48-hour time frame does not apply to termination actions which may be issued without delay. On these, DOE F 4220.10 shall be submitted as close to the 48-hour time frame as practicable.

Reportable Actions:

Selection of a single offeror for negotiation when the estimated amount of the resulting award is over the prescribed dollar threshold. (Reporting of this selection obviates the need to report the related award or modification.)

An award of a contract, grant, cooperative agreement, other financial assistance, and interagency agreement over the prescribed dollar threshold.

Modifications of the above instruments over the prescribed dollar threshold when the modification involves the addition of new work, the exercise of an option, or a termination action. Excluded are administrative changes, including funding actions; changes within the scope of the instrument; orders or notices under clauses such as a property clause, or a suspension of work clause; and the definitization of a letter contract.

Subcontract level actions are not reportable unless a press release is to be issued by the Department of Energy (DOE) or unless the subcontract level action is known to have been the subject of a Congressional inquiry.

Dollar Thresholds:

The prescribed thresholds for reporting an action are as follows:

An amount of \$50,000 or more for an award or modification with a nonprofit educational institution or with a state or local government.

An amount of \$500,000 or more for an award or modification with other entities.

A reduction of \$50,000 or more for a termination with a nonprofit educational institution or with a state or local government.

A reduction of \$500,000 or more for termination with other entities.

An amount of \$1 million or more for a selection of a single offeror for negotiation.

In calculating the threshold dollar amount of a modification, count the amount of the instant modification, not the cumulative amount of the original instrument as modified. The dollar amount of an option item is to be excluded, except when reporting the exercise of the option. In a cost-sharing arrangement, the threshold is based on the amount of the share of the DOE. Actions which involve funding only are not reportable.

Completion of DOE F 4220.10

Blocks 1 to 8 and 10 are self-explanatory. Block 9, the brief description of the covered effort should be in simple, non-technical/plain English language understandable by a lay person rather than in the technical language often used in the statement of work.

Submission of DOE F 4220.10

Completed DOE F 4220.10 with a copy of related press releases, if any, should be transmitted via telefax to 202-586-5497, mailed or hand-delivered to the Contract Notification Coordinator at the following address:

U.S. Department of Energy
Office of Congressional and Intergovernmental Affairs (CI-40)
Attention: Contract Notification Coordinator
Forrestal Building, Room 8G-070
Washington, DC 205 85

Confirm receipt with the Contract Notification Coordinator on 202-586-2764. Should an action not proceed as planned, advise the Contract Notification Coordinator immediately. For further information, contact the Contract Notification Coordinator on 202-586-2764.